



Docket No.: SONY 3.0-022

(PATENT)

DSW/pefers

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:
Ludtke et al.

Application No.: 10/014,960

Filed: December 11, 2001

For: A METHOD OR SYSTEM FOR EXECUTING
DEFERRED TRANSACTIONS

Group Art Unit: 2681

Examiner: Not Yet Assigned

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APR 08 2002

Technology Center 2600

Commissioner for Patents
Washington, DC 20231

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Dear Sir:

It is respectfully requested that the information listed on the enclosed form be made of record and considered with respect to the above-referenced U.S. patent application. A copy of each piece of information is enclosed. Submission of the present Information Disclosure Statement should not be taken as an admission that the cited information is legally available prior art or that the same are pertinent or material.

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Dated: March 28, 2002

Respectfully submitted,

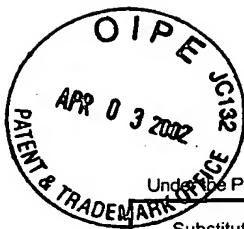
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I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail, in an envelope addressed to: Commissioner for Patents, Washington, DC 20231, on the date shown below.

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PTO/SB/08A (10-01)

Approved for use through 10/31/2002.OMB 0651-0031

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1 of 1

Complete if Known

Application Number	10/014,960
Filing Date	December 11, 2001
First Named Inventor	Harold A. Ludtke
Art Unit	2681
Examiner Name	Not Yet Assigned
Attorney Docket Number	SONY 3.0-022

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
	AA	5,744,787	04-28-1998	Teicher	RECEIVED APR 08 2002 Technology Center 2600
	AB	5,521,362	05-28-1996	Powers	
	AC	5,461,217	10-24-1995	Claus	
	AD	5,221,838	06-22-1993	Gutman et al.	
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	AI	5,936,220	08-10-1999	Hoshino et al.	
	AJ	5,945,652	08-31-1999	Ohki et al.	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)				

¹ Applicant's unique citation designation number (optional). ² See attached Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the application number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	CA	U.S. Patent Application No. 10/014,112, filed December 11, 2001, entitled "System And Method For Conducting Secure Transactions Over A Network".	
	CB	U.S. Patent Application No. 10/015,070, filed December 11, 2001, entitled "Method And System Of Conducting Network-Based Transactions".	
	CC	U.S. Patent Application No. 09/483,584, filed December 11, 2000, entitled "Secure Electronic Commerce System".	

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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